

2185

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	09/822,986
Filing Date	March 30, 2001
First Named Inventor	Carl M. Ellison
Group Art Unit	2185
Examiner Name	Unassigned

Total Number of Pages in This Submission

40

Attorney Docket Number

42390P8096

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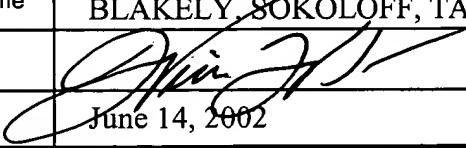
JUN 24 2002

Technology Center 2100

### ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<div style="border: 1px solid black; padding: 5px;">Cross-Reference Under 37 CFR §1.78(a)(2) to Related Applications; 30 Cited References</div>
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
	Remarks	

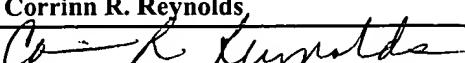
### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	William W. Schaal, Reg. No. 39,018  BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	June 14, 2002

### CERTIFICATE OF MAILING/TRANSMISSION

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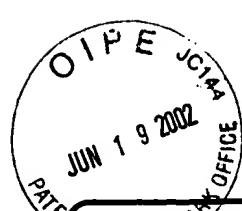
June 14, 2002

Typed or printed name	Corrinn R. Reynolds
Signature	

Date

June 14, 2002

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# FEET TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

**TOTAL AMOUNT OF PAYMENT** **(\$)**

**Complete if Known**

Application Number	09/822,986
Filing Date	March 30, 2001
First Named Inventor	Carl M. Ellison
Examiner Name	Unassigned
Group/Art Unit	2185
Attorney Docket No.	42390P8096

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**METHOD OF PAYMENT (check one)**

Check  Credit card  Money Order  Other  None  
 Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) during the pendency of the application  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	(\\$)	(\\$)
101	740	201	370 Utility filing fee
106	330	206	165 Design filing fee
107	510	207	255 Plant filing fee
108	740	208	370 Reissue filing fee
114	160	214	80 Provisional filing fee
<b>SUBTOTAL (1)</b>		<b>(\$)</b>	

**2. EXTRA CLAIM FEES**

Total Claims	Independent Claims	Extra Claims	Fee from below	Fee Paid
		**	= <b>(\$)</b> X <b>(\$)</b> = <b>(\$)</b>	
		= <b>(\$)</b>	X <b>(\$)</b> = <b>(\$)</b>	
		= <b>(\$)</b>	= <b>(\$)</b>	

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	(\\$)	(\\$)
103	18	203	9 Claims in excess of 20
102	84	202	42 Independent claims in excess of 3
104	280	204	140 Multiple Dependent claim, if not paid
109	84	209	42 **Reissue independent claims over original patent
110	18	210	9 **Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>		<b>(\$)</b>	

\*\*or number previously paid, if greater. For Reissues, see below

**3. ADDITIONAL FEES**

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee Code	(\\$)	(\\$)
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112 920 * Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840 * Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,280	241 640 Petition to revive - unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	740	246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify)			
* Reduced by Basic Filing Fee Paid			
<b>SUBTOTAL (3)</b>		<b>(\$)</b>	

**SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	06/14/02

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

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Docket No.: 042390.P8096

#7

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ellison, et al.

Application No.: 09/822,986

Filed: March 30, 2001

For: Checking File Integrity Using  
Signature Generated in Isolated  
Execution

Examiner: Unassigned

Art Group: 2185

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Technology Center 2100

Assistant Commissioner for Patents  
Washington, D.C. 20231

**CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS**

Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

(1) A U.S. Patent Application entitled Controlling Accesses to Isolated Memory

Using a Memory Controller for Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,608, filed March 31, 2000.

(2) A U.S. Patent Application entitled Platform and Method For Issuing and

Certifying a Hardware-Protected Attestation Key by Carl M. Ellison, et al., Application No. 09/538,951, filed March 31, 2000.

(3) A U.S. Patent Application entitled Managing a Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode by Carl M. Ellison, et al., Application No. 09/539,344, filed March 31, 2000.

(4) A U.S. Patent Application entitled Platform And Method For Remote Attestation Of A Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.

(5) A U.S. Patent Application entitled Platform and Method for Generating and Utilizing a Protected Audit Log by Carl M. Ellison, et al., Application No. 09/540,612, filed March 31, 2000.

(6) A U.S. Patent Application entitled Protecting Software Environment in Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,946, filed March 31, 2000.

(7) A U.S. Patent Application entitled Generating Isolated Bus Cycles for Isolated Execution by Carl M. Ellison, et al., Application No. 09/538,954, filed March 31, 2000.

(8) A U.S. Patent Application entitled Generating A Key Hierarchy For Use In An Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/539,348, filed March 31, 2000.

(9) A U.S. Patent Application entitled Isolated Instructions for Isolated Execution by Carl M. Ellison, et al., Application No. 09/541,477, filed March 31, 2000.

(10) A U.S. Patent Application entitled Managing Accesses in a Processor for Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,611, filed March 31, 2000.

(11) A U.S. Patent Application entitled Managing a Secure Environment Using a Chipset in Isolated Execution Mode by Carl M. Ellison, et al., Application No. 09/540,613, filed March 31, 2000.

(12) A U.S. Patent Application entitled Attestation Key Memory Device and Bus by Carl M. Ellison, et al., Application No. 09/541,667, filed March 31, 2000.

(13) A U.S. Patent Application entitled Controlling Access to Multiple Isolated Memories in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,738, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,226).

(14) A U.S. Patent Application entitled Controlling Access to Multiple Memory Zones in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,489, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,225).

(15) A U.S. Patent Application entitled Resetting a Processor in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,659, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,227).

(16) A U.S. Patent Application entitled File Checking Using Remote Signing Authority Via A Network by Carl M. Ellison, et al., Application No. 09/823,131, filed March 30, 2001.

If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



WILLIAM W. SCHAAL  
Reg. No. 39,018

Dated: December 21, 2000

12400 Wilshire Boulevard, Seventh Floor  
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(714) 557-3800

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Corrinn R. Reynolds

12/21/00  
Date



Docket No.: 42390P8096

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/822,986

Filed: March 30, 2001

For: **Checking File Integrity Using Signature  
Generated In Isolated Execution**

Art Group: 2185

Examiner: Unassigned

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**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



William W. Schaal, Reg. No. 39,018

Date: June 14, 2002

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(714) 557-3800

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June 14, 2002



Corrinn R. Reynolds 06-14-02  
Date

Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

## Complete if Known

Application Number	09/822,986
Filing Date	3/30/01
First Named Inventor:	Ellison, et. al.
Group Art Unit	2185
Examiner Name	Unassigned

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JUN 24 2002

Technology Center 2100

Attorney Docket Number

042390.P8096

## U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number <sup>2</sup>	Kind Code <sup>3</sup>			
		4,278,837		Best	07/14/81	
		4,521,852		Guttag	06/04/85	
		5,022,077		Bealkowski et al.	06/04/91	
		5,293,424		Holtey et al.	03/08/94	
		5,421,006		Jablon et al.	05/30/95	
		5,473,692		Davis	12/05/95	
		5,479,509		Ugon	12/26/95	
		5,568,552		Davis	10/22/96	
		5,657,445		Pearce	08/12/97	
		5,729,760		Poisner	03/17/98	
		5,796,845		Serikawa et al.	08/18/98	
		5,805,712		Davis	09/08/98	
		5,835,594		Albrecht et al.	11/10/98	
		5,844,986		Davis	12/01/98	
		5,937,063		Davis	08/10/99	
		5,978,481		Ganesan et al.	11/02/99	
		6,014,745		Ashe	01/11/00	
		6,058,478		Davis	05/02/00	
		6,158,546		Hanson et al.	12/12/00	
		6,175,925 B1		Nardone et al.	01/16/01	
		6,178,509		Nardone et al.	01/23/01	
		6,205,550 B1		Nardone et al.	03/20/01	
		6,282,651		Ashe	08/28/01	
		6,282,657 B1		Kaplan et al.	08/28/01	

## FOREIGN PATENT DOCUMENTS

Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (If known)				
		EP0930567A		Texas Instruments, Inc.	7/21/99		
		WO9834365A		AT&T Corporation	8/6/98		

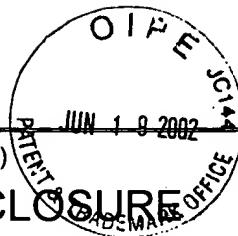
Examiner  
Signature

Date Considered

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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

2

042390.P8096

2

Attorney Docket Number

**Complete if Known**

Application Number	09/822,986
Filing Date	3/30/01
First Named Inventor:	Ellison, et. al.
Group Art Unit	2185
Examiner Name	Unassigned

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JUN 24 2002

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**OTHER ART - NO PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 – page 1-9, page 1-13-page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11	
		"INTEL 386 DX MICROPROCESSOR 32-BIT CMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14	
		JOE HEINRICH: "MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79	
		BERG C: "HOW DO I CREATE A SIGNED APPLET?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122	
		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTEREY, CA 12 '97, pages 103-112	

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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